



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: KRAMER et al. Examiner: Evanisko, G.  
Serial No.: 10/796,659 Group Art Unit: 3762  
Filed: March 5, 2004 Docket No.: GUID.150DIV4  
(99-209DIV4)  
Title: METHODS AND SYSTEMS FOR PROMOTING VENTRICULAR  
PACING

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this Transmittal Letter and the papers, as described herein, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 27, 2007.

By: Clara Davis  
Clara Davis

**SUBMISSION UNDER 37 C.F.R. §3.73(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with 37 C.F.R. §3.73(b), the Applicant hereby submits the following:

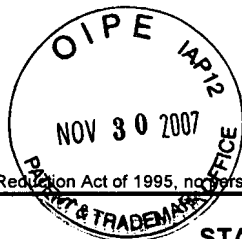
- 1) a Statement under 37 C.F.R. §3.73(b);
- 2) a copy of an executed Power of Attorney to Prosecute Applications before the USPTO; and
- 3) a copy of the Notice of Recordation of Assignment Document recorded at Reel/Frame No. 008741/0280 for the above-identified patent application.

Although no fee is believed necessary with this submission, authorization is given to charge Deposit Account No. 50-3581 (GUID.150DIV4) any necessary fees. If there are any questions regarding this communication, please contact the undersigned attorney of record.

Respectfully submitted,

**HOLLINGSWORTH & FUNK, LLC**  
8009 34<sup>th</sup> Avenue South, Suite 125  
Minneapolis, MN 55425  
952.854.2700 (tel.)

By: Clara Davis  
Name: Clara Davis  
Reg. No.: 50,495



PTO/SB/96 (12-05)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: KRAMERApplication No./Patent No./Control No.: 10/796,659 Filed/Issue Date: 3/5/2004Entitled: METHODS AND SYSTEMS FOR PROMOTING VENTRICULAR PACINGCARDIAC PACEMAKERS, INC., a CORPORATION

(Name of Assignee)

(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 008741, Frame 0280, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

**As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.**

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Clara Davis  
Signature11/27/2007  
DateClara Davis952.854.2700

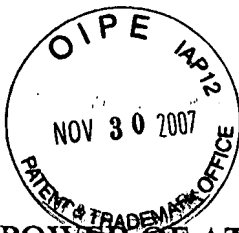
Printed or Typed Name

Telephone Number

Attorney of Record (U.S. Reg. No. 50.495)  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



## POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

|                   |                 |                       |                 |
|-------------------|-----------------|-----------------------|-----------------|
| Steven R. Funk    | Reg. No. 37,830 | Mark A. Hollingsworth | Reg. No. 38,491 |
| Clara Davis       | Reg. No. 50,495 | William Ashley        | Reg. No. 51,419 |
| Richard R. Clapp  | Reg. No. 31,751 | Tyler L. Nasiedlak    | Reg. No. 40,099 |
| Lori J. Heinrichs | Reg. No. 43,667 | Alana T. Bergman      | Reg. No. 47,420 |
| Jeffrey P. Cook   | Reg. No. 48,649 |                       |                 |

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

The correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) is:

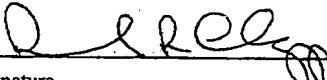
HOLLINGSWORTH & FUNK, LLC  
8009 34<sup>th</sup> Avenue South, Suite 125  
Minneapolis, MN 55425

The Assignee Name and Address is listed below:

Cardiac Pacemakers, Inc.  
4100 Hamline Avenue North  
Saint Paul, Minnesota 55112

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

Signatures of Assignee of Record (the individual whose signature and title is supplied below is authorized to act on behalf of the assignee)

  
Signature

RICHARD R. CLAPP  
Name

ASST. SECRETARY  
Title

651 582-4400  
Telephone

08DECUS  
Date



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

NOVEMBER 18, 1997

PTAS

HAUGEN AND NIKOLAI, P.A.  
PAUL T. DIETZ  
900 SECOND AVENUE SOUTH, #820  
MINNEAPOLIS, MN 55402-3325



\*100553774A\*



**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/04/1997

REEL/FRAME: 8741/0280

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

KRAMER, ANDREW P.

DOC DATE: 03/24/1997

ASSIGNEE:

CARDIAC PACEMAKERS, INC.  
4100 NORTH HAMLINE AVENUE  
ST. PAUL, MINNESOTA 55112

SERIAL NUMBER: 08833281

FILING DATE: 04/04/1997

PATENT NUMBER:

ISSUE DATE:

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

40,000-581

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10-17-1997

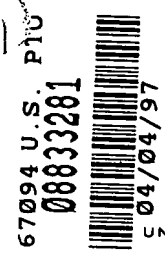


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JAMES T. NIKOLAI  
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FREDERICK W. NIEBUHR  
ERIC O. HAUGEN  
CATHERINE C. MARESH  
PAUL T. DIETZ  
JONATHAN D. SPANGLER



April 4, 1997

EM543098059US

RECORDATION FORM COVER SHEET

PATENTS ONLY

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OUR FILE NO. 960570.ORI

COMMISSIONER OF PATENTS AND TRADEMARKS  
BOX ASSIGNMENTS  
WASHINGTON, D.C. 20231

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

- Name of conveying parties: **MRD**  
Andrew P. Kramer **4-04-97**
- Name and address of receiving party(ies):  
Name: Cardiac Pacemakers, Inc.  
Street Address: 4100 North Hamline Avenue  
City: St. Paul  
State: MN Zip: 55112
- Nature of Conveyance:  

|  |   |
|--|---|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Merger         |
| <input type="checkbox"/> Security Agreement    | <input type="checkbox"/> Change of Name |
| <input type="checkbox"/> Other                 |   |

Execution Date: March 24, 1997

- Application number(s) or registration number(s):  
If this document is being filed together with a new application, the execution date of the application is:  
March 24, 1997

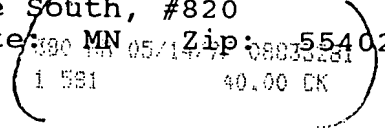
A. Patent Application No.(s):

B. Patent No.(s):

08/833,281

- Name and address of party of whom correspondence concerning document should be mailed:

Name: Paul T. Dietz  
HAUGEN AND NIKOLAI, P.A.  
Street Address: 900 Second Avenue South, #820  
City: Minneapolis State: MN Zip: 55402-3325



204000-782830

6. Number of applications and patents involved: 1
7. Total Fee (37 CFR 3.41): \$40  
X A check is enclosed.
8. The Commissioner is authorized to charge any fees or refund any overpayment under 37 CFR 1.16 and 1.17 which may be required by this paper to Deposit Account No. 08-1265.

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DO NOT USE THIS SPACE

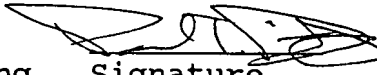
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9. Statement and signature.  
To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Paul T. Dietz

Name of Person Signing

Signature

 Date: April 4, 1997

Total number of pages including  
cover sheet, attachments and document: 4

4040-1-88-0

## A S S I G N M E N T

WHEREAS, I, Andrew P. Kramer, a citizen of the United States of America, and a resident of Minneapolis, Minnesota, am the inventor of that certain invention disclosed and claimed in the application for United States Letters Patent executed by me on March 24, 1997, and entitled "DEVICE AND METHOD FOR VENTRICULAR TRACKING AND PACING"; and

WHEREAS, CARDIAC PACEMAKERS, INC., a corporation organized and existing under the laws of the State of Minnesota, and having its principal office located at 4100 North Hamline Avenue, St. Paul, Minnesota, is desirous of acquiring the said invention and any and all patents of any and all countries which may be granted on said invention.

NOW, THEREFORE, Be It Known that for and in consideration of the sum of One Dollar (\$1.00) to me in hand paid by said CARDIAC PACEMAKERS, INC. and for other good and valuable consideration, the receipt of all of which is hereby acknowledged, I, Andrew P. Kramer, have sold, assigned and transferred, and do hereby sell, assign and transfer unto said CARDIAC PACEMAKERS, INC., the entire right, title, and interest, both legal and equitable, in and to the said above identified invention for all countries, in and to the same above identified application for patent, and in and to any and all patents of any and all countries which may be granted on said invention; and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue, in accordance with this

Assignment, any and all patents which may be granted on the above identified application or on the invention therein disclosed.

Signed at St. Paul, this 24<sup>th</sup> day of March, 1997.

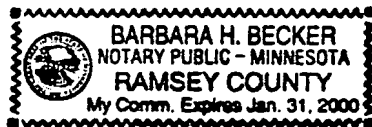
Andrew P. Kramer  
Andrew P. Kramer

STATE OF MINNESOTA

COUNTY OF Ramsey SS

On this 24<sup>th</sup> day of March, 1997, before me, a Notary Public for and within the County aforesaid, personally appeared Andrew P. Kramer to me known to be the person described in the foregoing Assignment, and he acknowledged to me that he executed the same as his free act and deed.

(SEAL)



Barbara H. Becker  
Notary Public